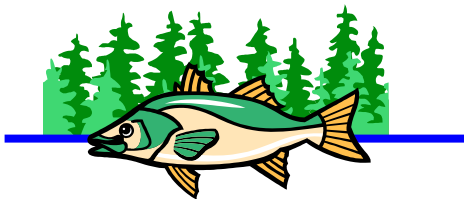


# **PROJECT SCOPING WORKBOOK**

**Washington Community Economic Revitalization Team  
WA-CERT  
February 2002**



***“Scoping is the process of discovering proposed project information. It includes investigating a broad array of project components to determine appropriate sources of technical and financial assistance.”***

This workbook is intended for use by state and federal agency staff engaged in the Rural Economic Vitality Partnership. It is also a tool for county and tribal WA-CERT list coordinators to help assess project readiness and to help communities draft informative and useful project proposal forms.

This workbook may be downloaded from [www.wacert.wa.gov](http://www.wacert.wa.gov).

# WASHINGTON COMMUNITY ECONOMIC REVITALIZATION TEAM WA-CERT

*Promoting rural economic vitality*

## THE PROJECT PROPOSAL FORM –

**The project proposal is used to assess project readiness.**

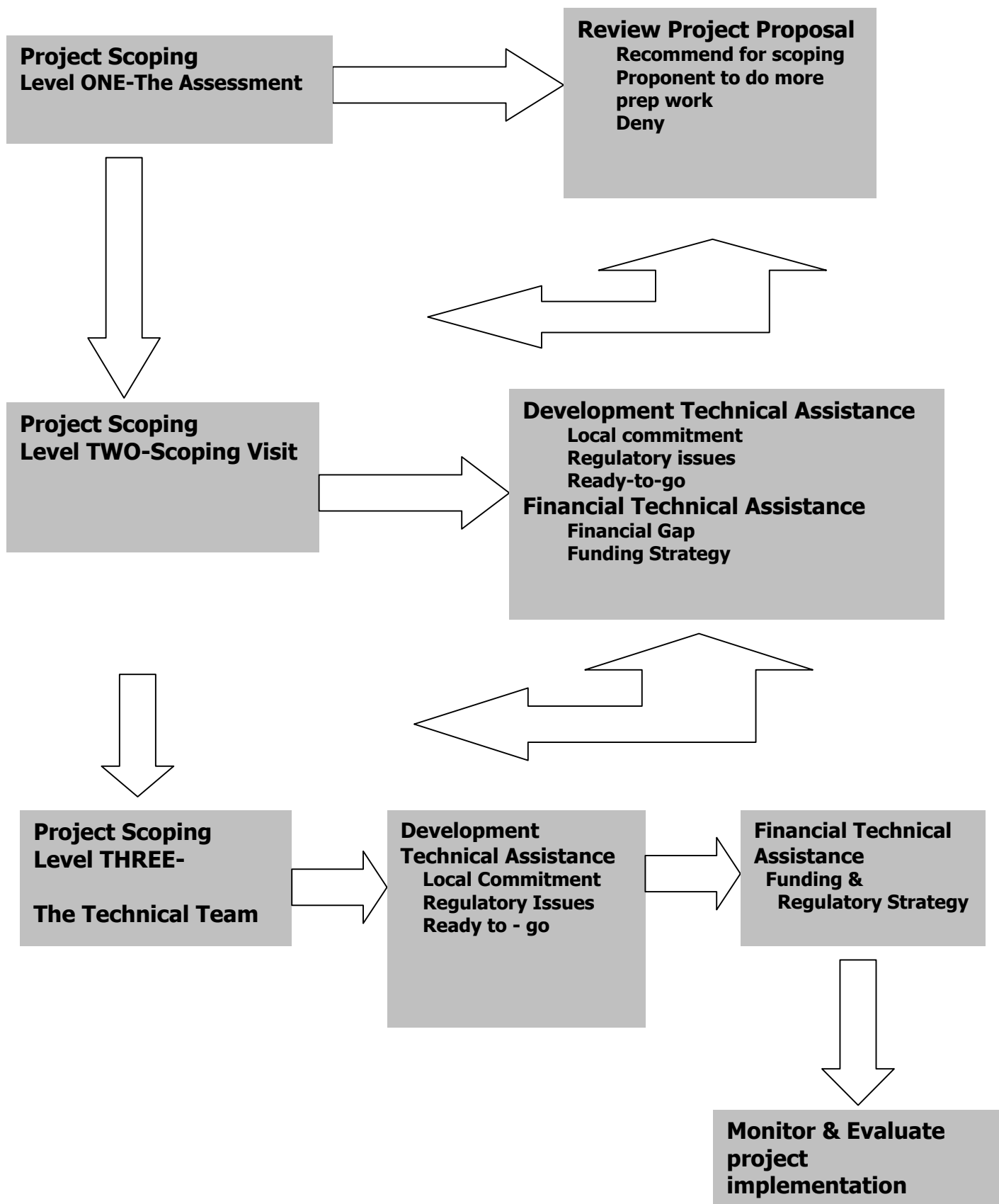
**Project scoping is the art of providing technical assistance to guide a project to readiness and of developing an implementation strategy for that project.**

The vehicle for getting a project considered by the WA-CERT is the two-page project proposal. The project proposal is the first step towards a “one government” approach to service delivery.

The project proposal is the “decision-aiding” tool for the WA-CERT. It describes an economic diversification strategy and the project designed to help achieve that strategy. It helps the WA-CERT gauge what planning efforts, feasibility studies, design and engineering reports are complete, and what fundraising efforts have occurred to date.

The project proposal provides information on the projected short– and long–term project benefits for the jurisdiction and surrounding area. The jurisdiction identifies measures of success on the project proposal, as well as special circumstances that make the project compelling.

NOTES:



## PROJECT REVIEW

**Project review is the process of determining whether an applicant and project are eligible for assistance through the WA-CERT system. The review helps determine if the project is appropriately framed, that the community has accurately sequenced its project development needs, and to determine whether a project should receive scoping assistance.**

**Any state or federal agency staff conducts project review. At this level of project development, the reviewer is a generalist, looking at a project from a broad, rather than program perspective.**

## SCOPING LEVEL ONE—REVIEW

Once received, reviewed for completeness, and assigned a WA-CERT number, the project proposal may be reviewed by staff of any of the state or federal agencies engaged in the WA-CERT partnership.

The review is a telephone consultation where the proponent is asked a series of questions. The response to those questions determine whether the project will be recommended for scoping or the proponent needs to complete additional tasks and resubmit the proposal at a later time, or whether the proposal is denied.

This analysis may assist the federal and non-federal agencies to determine project readiness, consider potential funding sources for projects, support consolidation or grouping of projects, determine which communities require technical assistance and whether project proposals fall outside the scope of Rural Economic Vitality.

Steps for State and Federal agency staff:

- 1) Sign up as an evaluator on the website.
- 2) Proceed with assessment.
- 3) Note recommendations on website.

The review considers these questions:

1. Is the applicant eligible for assistance?
2. Is this project eligible?
3. Is it well defined?
4. Is it well planned?
5. Is it a feasible project?

**Project review is typically a telephone consultation. Project review is an important marketing and outreach vehicle for the WA-CERT partnership.**

**The reviewer conveys information about the WA-CERT system, verifies project information, and sets the stage for future actions the WA-CERT partner agencies.**

The assessment tool will help guide this conversation. The outcome of the assessment will be posted on the WA-CERT website, so that the proponent and other scopers may view it.

Example of opening and closing conversation:

*Opening verbage:*

“Hello, my name is \_\_\_\_\_ and I am with \_\_\_\_\_(agency). I am calling about \_\_\_\_\_(project) on behalf of the WA-CERT System. I’d like to talk with you about your project. Is now a good time?”

*At conclusion of your conversation:*

“Thank you for your time. Please check the WA-CERT Website for next steps regarding your project.”

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## WA-CERT Project Proposal Review Worksheet

1.01 Which county is this project located in: \_\_\_\_\_

Who is the applicant? \_\_\_\_\_

1.02 What is the title of the project: \_\_\_\_\_

What is the cost of the project? \_\_\_\_\_

Do you as a reviewer have a clear understanding of this project from reading the Project Proposal form? Yes ☐ No ☐

Do you have a good sense of past efforts, anticipated benefits, trackable outcomes, and other factors related to this project? Yes ☐ No ☐

If your answer is no, what is missing from the Project Proposal applicant's response?

Outcome of contact with the applicant?

### WA-CERT Action:

Promote to Scoping Level 2? Yes ☐ No ☐

Assign a Scoping Agent? Yes ☐ No ☐ If yes, suggestion of who?

Refer to subcommittee for additional technical assistance? Yes ☐ No ☐

If yes, specify information requested and the date: \_\_\_\_\_

Date project review outcomes entered into database: \_\_\_\_\_

## **SCOPING AGENT**

**A scoping agent is a federal or state staff person who meets with the project proponent, learns about the project, helps develop a funding strategy and draws in other scoping agents as needed.**

**The scoping agent guides the project through application processes.**

**The scoping agent serves three purposes:**

- a) speed up project discovery,**
- b) gather information that may be important to potential funding agencies, and**
- c) demonstrate responsiveness to local requests.**

**Goal of the initial site visit: to determine the project's overall fundability and readiness to proceed.**

## **Level Two—Scoping**

The lead-scoping agent may be federal or non-federal, orchestrating the coordination between other federal and state programs that could participate in the project. The lead-scoping agent is the single point of contact for the pre-applicant. The lead scoping agent may ask for assistance from other staff, assemble a technical team, or request assistance from WA-CERT staff.

Scoping can take place with a telephone consultation, or most often a site visit. The scoping agent can ask that staff representing another program participate in the visit.

The project scoper may be viewed as a facilitator for a community project development process. The responsibility for filling out funding applications rests with the community.

Project development technical assistance considers:

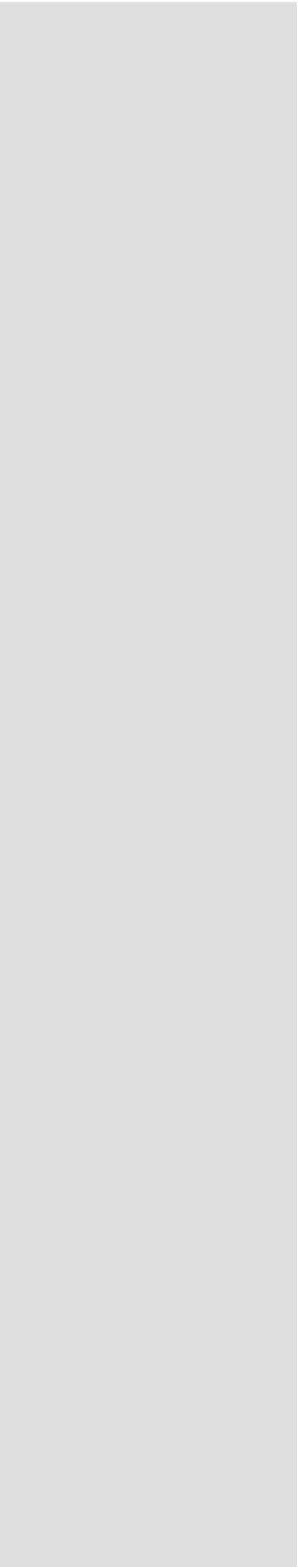
1. Is local commitment demonstrated for this project?
2. Are there regulatory issues, and have these been resolved?
3. Is this project ready to go?

Project financial technical assistance considers:

1. Has a funding strategy been developed?
2. Is there local financial commitment to the project?
3. Is there a funding gap issue?

Additional scoping questions are provided in Appendix A of this handbook.





The outcome of project scoping is that a project can be funded by one or two funding sources since there are factors that could prevent implementation of the project shortly after the funds are awarded.

Projects funded at the end of scoping level two sessions typically have no regulatory or permitting challenges, and can be accomplished within one calendar year.

Projects with those challenges, requiring coordination of multiple funding sources or are complex, spanning multiple years are candidates for a technical team.

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WA-CERT Number:

Scoping Agent:

Project Title:

Project Development technical assistance:

1. Is there local commitment?
2. Are there regulatory issues, and have those been resolved?
3. Is this project ready to go?

Project Status:

Next steps:

As a scoper you may use this as a guideline. As a scoper you can go into the web site at [www.wacert.wa.gov](http://www.wacert.wa.gov) and submit the information for a project under scoper and notes. You will need to get a password from WA-CERT to enter your information.

## TECHNICAL TEAM

**A group of staff representing a variety of programs. A technical team is convened when a project is complex, requiring multiple funding sources, coordination with regulatory agencies, and involving other local entities in addition to the project proponent.**

## SCOPING LEVEL THREE—TECHNICAL TEAM

The technical team is the highest form of project scoping. Not all projects require technical teams, and this approach should be applied only when necessary.

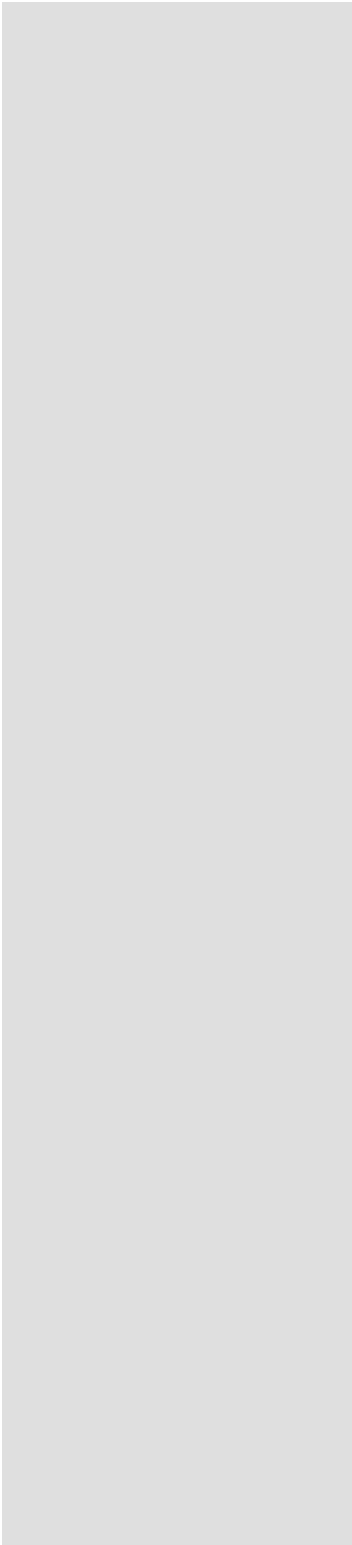
A technical team typically has a lead scoper, assistant scoper and representatives of state and federal agencies, and other resource providers as appropriate to the project. The technical team has a local counterpart.

The technical team works to identify the appropriate technical assistance resources that can work with the community on project development, and meets with the community to chart a project implementation strategy.

When assembling a technical team consider bringing in individuals with various skills and strengths:

- Facilitation and meeting management
- Strategic planning
- Project planning and management
- Negotiation and conflict resolution
- Creative problem solving
- Performance measures and benchmarking
- Resource brokering
- Financial statement analysis
- Communication and public relations.

Use the WA-CERT Interagency Subcommittee, the Infrastructure Assistance Coordinating Council and your internal agency resource teams to help you identify the appropriate technical assistance resources for a project.



Don't forget to regularly communicate with your community about the status of their project proposal, and to remind them of next steps.

Project scoping is not a replacement for local initiative and the drive to succeed. Some communities err to believe that once a project is scoped there is a guarantee of funding.

Clarifying how the process works helps communities understand that the process is not over because a project ends up on a county or tribal WA-CERT list, has been reviewed, scoped or subjected to a technical team experience.

A technical team may work with a community over several years. The outcome of this approach should be implementation of a local priority project through technical assistance, strategic financial investments, and resolution of regulatory barriers.

NOTES:

# WA-CERT Scoping Report Form

WA-CERT Number:  
Project Title:

Scoping Agent:

*Executive Summary*  
Project Description:

Main Issues and needs:

Next Steps:

I would like to have time at the next WA-CERT Meeting to discuss this project:

Yes ☐

No ☐

## *Project Information*

1. Community Demographic Information
2. Project Overview and Background
3. Project Opportunity/Problem Statement
4. Project Planning
5. Project Elements
6. Project Financing
7. Recommendation to WA-CERT

### Funding Strategy Matrix

Questions	Explanations	FUNDER #1	FUNDER #2	FUNDER #3
Who's eligible	<i>Local governments, ports, non-profit, businesses</i>			
Pre-requisites	<i>What must we have completed before we can apply? (Planning documents, comprehensive plan, capital facilities plan, engineering report?)</i>			
Maximum Grant/Loan Award	<i>What is the amount available for our project? How is it determined? Are we eligible for future or additional funding?</i>			
Application Package Requirements	<i>What is required in the application?</i>			
Work Required to Develop Application and Apply	<i>How much time and resources do we need to apply?</i>			
Application Due Date(s)	<i>How often are applications accepted? When are they due? When must we have the application into the office? Is there a "pre-application?"</i>			
Application Award Date(s) (Frequency)	<i>When are the commitments made and how often?</i>			
Likelihood of Getting Funded	<i>How likely are we to get this project funded? (How competitive is it?)</i>			
Length of Commitment Period	<i>How long will the commitment last? Under what circumstances?</i>			
Match required	<i>What does the funder require for a local match?</i>			
Quality/Type of Match Required	<i>What type of match is allowed?</i>			
Match Period	<i>Does the funder allow expenses previous to or after a contract be considered as match?</i>			
Extraneous Requirements	<i>What is the "baggage" that this funder brings? Federal reports, Davis-Bacon wage requirements, etc.</i>			
Expenses not Allowed	<i>What part(s) of the project are not allowed?</i>			

## Appendix A

To help a project progress to readiness, a project proponent should be able to answer the following questions affirmatively. How well they can answer the relevant questions will help determine the most appropriate form of assistance, technical or financial for a project.

For Infrastructure and Community Facilities projects:

1. Is the project a priority in a local or county comprehensive plan, capital facilities plan, economic development element of a comprehensive plan, a strategic plan or similar document?
2. Will the project support the local economy by utilizing the local workforce, or utilizing local suppliers, or by benefiting other jurisdictions in your area? Will this project enhance the sustainability of your community?
3. If an infrastructure project, how will the project address your immediate and projected infrastructure needs?
4. Can you demonstrate local commitment to this project financially, with in-kind contributions, or in other ways unique to your community or the project?
5. How ready is your project to proceed? Have you done the necessary planning? Have you done preliminary identification of permits, approvals, and environmental reviews, such as those required by the Washington Departments of Ecology and Health? Have you identified wetlands or assessed hydraulic conditions of the project site?
6. Have you explored potential partnerships with other agencies? Have you done any analysis to gauge whether the project is feasible?

For Business and Industry projects:

1. Can you demonstrate economic feasibility or your project in terms of management and technical capacity? Can you tell us about the experience of your management team?
2. Have you considered linkages of your project to other needs in your area or to other forms of assistance, such as worker training?
3. What are the spin-offs of this project in terms of indirect employment, potential upstream (suppliers) and downstream (customers) impacts?
4. How ready is your project to proceed? Do you have: a) a business plan, b) financial plans, a marketing plan, and/or 3) engineering plans? Have you secured the permits necessary for this project?

For Workers and Families projects:

1. Is this project part of a strategy to deliver comprehensive community services such as leadership training, counseling, etc?
2. Are there linkages between workers, families and employers through training?
3. Is your project linked to any other funding categories, such as business and industry or ecosystem enhancement?

For Ecosystem Enhancement projects:

1. Is the project ready for implementation as indicated by its being in an approved watershed plan, with approved permits, and meeting NEPA/SEPA public process requirements?
2. Does your project cross-jurisdictional boundaries using an ecosystem or landscape approach?
3. Does your project contribute to ecosystem restoration in a holistic way by solving a root problem versus treating symptoms?
4. Does your project provide employment opportunities to dislocated timber workers, fishers and others from disadvantaged or under-served populations?
5. How does your project balance economic and environmental concerns and opportunities?



## **Appendix B**

### ***Are there deadlines for Pre-Applications?***

To facilitate local coordination and processing of project proposals the WA-CERT adopted four deadlines for project proposals: October 1, January 1, April 1, and July 1. County and Tribal governments act as the central collecting point for project proposals. Projects are entered locally to the WA-CERT web enabled data-base and supported by an authorizing resolution by the county commission or tribal council.

Each eligible county, tribal government or statewide organizations respond to one deadline each year. Applicants choose the deadline that works best for them. The remaining deadlines are available should the prioritized list require modifications. Technical assistance is available to all jurisdictions with questions on the WA-CERT System.

### ***What do each of these deadlines do?***

The intent of the December 1 deadline was to add jurisdictions within each county, or each tribe, to come together and develop one list of numerically prioritized projects. Then, the county government or tribal government would forward that list, along with a resolution of support for the projects to the WA-CERT. We asked that “Carry-Over”, “In-Process”, “Projects Needing Reprioritization” and “No Response” or “Withdrawn” projects be the ones considered for this deadline.

The intent of the March 1 deadline is to get jurisdictions positioned for federal fiscal year 1995. Projects that have been funded in full can be removed from the list. New projects can be added to the list. The numeric prioritization process occurs again. The list and the resolution of support are sent to the WA-CERT.

# Project Scoping

## Glossary of Terms

**Ready-to-go:** a project is ready when it has a well-defined scope, reliable budget, strong community support and no problems that would prevent implementing the project soon after funds are committed.

**Project Reviewer:** a project reviewer conveys information about the WA-CERT System, verifies project information, and sets the stage for future actions for the WA-CERT partner agencies.

**Scoping Agent:** a scoping agent is a federal or state staff person who meets with the project proponent, learns about the project, helps develop a funding strategy and draws in other scoping agents as needed. The scoping agent guides the project through the application process.

**Technical Team:** a group of staff representing a variety of programs. A technical team is convened when a project is complex, requiring multiple funding sources, coordination with regulatory agencies, and frequently other local entities in addition to the pre-applicant.

**Local Commitment:**

- a. coordination and consultation among local stakeholders regarding planning
- b. public participation,
- c. a summary of previous efforts made towards a project
- d. a demonstration of commitment and readiness and
- e. in-kind and in-cash contributions to the project

**Funding gap:** the financing gap is the difference between the total cost of your project and the amount of funding secured to-date.